

File System Checklist

Grant Application

Date Completed

| | |
|---|----------------|
| _____ 1) Early Notification Form | ____/____/____ |
| _____ 2) Application copy | ____/____/____ |
| _____ 3) Application public hearing | ____/____/____ |
| _____ • Notice/minutes | ____/____/____ |
| _____ • Public comments on application | ____/____/____ |
| _____ • Application preparation material | ____/____/____ |
| _____ 4) Grant award letter | ____/____/____ |
| _____ • Award Conditions | ____/____/____ |
| _____ Other Resources | ____/____/____ |
| _____ Environmental Review (see <i>File System Checklist –Chapter 1</i>) | ____/____/____ |
| _____ Municipal Policies and Codes (see <i>File System Checklist –Chapter 3</i>) | ____/____/____ |
| _____ URA | ____/____/____ |
| _____ Anti-Displacement Plan (see <i>File System Checklist-Chapter 5</i>) | ____/____/____ |
| _____ Site Control | ____/____/____ |
| _____ Right of Ways | ____/____/____ |
| _____ Other specific conditions related to project | ____/____/____ |

File System Checklist

Chapter 1 Environmental Review Process (not all forms are applicable to all projects)

Date Completed

- | | | |
|-------|---|-------------|
| _____ | 1) Act 250 Office Review Sheet (from your Grant Application) | ___/___/___ |
| _____ | 2) Form ENV-1, Environmental Review Record | ___/___/___ |
| _____ | 3) Form ENV-2, Certification of Exempt Activities/Request for Release of Funds | ___/___/___ |
| _____ | 4) Form ENV-3, Statutory Coordination Check List | ___/___/___ |
| _____ | 5) Form ENV-4, Notice of Intent to Request Release of Funds/Categorically Excluded Activities | ___/___/___ |
| _____ | 6) Form ENV-5, Certification of Categorically Excluded Activities/Request for Release of Funds | ___/___/___ |
| _____ | 7) Form ENV-6, Environmental Review Worksheet | ___/___/___ |
| _____ | • Correspondence/determination from Division for Historic Preservation | ___/___/___ |
| _____ | • All other correspondence from regulatory agencies/institutions | ___/___/___ |
| _____ | 8) Form ENV-7, Combined Notice of Finding of No Significant Impact (FONSI) and Intent to Request Release of Funds | ___/___/___ |
| _____ | 9) Form ENV-8, Certification of Environmental Assessment/Request for Release of Funds | ___/___/___ |
| _____ | 10) Notice of Release of Funds | ___/___/___ |
| _____ | 11) Public comments, if received. | ___/___/___ |
| _____ | 12) Any applicable correspondence not otherwise incorporated in categories listed above. | ___/___/___ |

File System Checklist

Chapter 2 The Grant Agreement

| | Date Completed |
|--|----------------|
| _____ 1) Grant Agreement | ___/___/___ |
| _____ 2) All documentation required to meet special conditions | ___/___/___ |
| _____ 3) Document Check List Items applicable to this Project | ___/___/___ |
| _____ • Subgrant Agreement | ___/___/___ |
| _____ • Loan and Security Agreement | ___/___/___ |
| _____ • Benefit/Performance Agreement | ___/___/___ |
| _____ • Promissory Note | ___/___/___ |
| _____ • Mortgage Deed | ___/___/___ |
| _____ • Mortgage and Security Agreement | ___/___/___ |
| _____ • Warranty Deed | ___/___/___ |
| _____ • Quitclaim Deed | ___/___/___ |
| _____ • UCC-1 (for equipment) or mobile home | ___/___/___ |
| _____ • Personal guarantee signed by both spouses if borrower is married | ___/___/___ |
| _____ • Standby Agreement | ___/___/___ |
| _____ • Rent Stabilization Agreement (investor-owned scattered site housing) | ___/___/___ |
| _____ • Administrative Services Contract | ___/___/___ |
| _____ • Employment Agreement | ___/___/___ |
| _____ • Guarantees of Sources of Funding | ___/___/___ |
| _____ • Other Documents as Required | ___/___/___ |

File System Checklist

Date Completed

Chapter 3 Forms, Policies, and Resolutions

_____ 1) Municipal Policies and Codes

- _____ • Form MP-1
- _____ • Equal Employment Opportunity Policy
- _____ • Fair Housing Policy
- _____ • Use of Excessive Force Policy
- _____ • Policy on the Use of VCDP Funds for Federal Lobbying
- _____ • Code of Ethics
- _____ • Drug-Free Workplace

_____ 2) Financial Management Forms

- _____ • Form FM-1, Designation of Depository
- _____ • Form FM-2, Authorized Signatures for Requisition of VCDP Funds

_____ 3) Grant Agreement Resolutions

- _____ • Form PM-1, Grant Agreement Resolutions - Single Grantee. (For consortiums, use PM-2 and PM-3)
- _____ • Form PM-2, Grant Agreement Resolution - Consortium Lead Grantee
- _____ • Form PM-3, Grant Agreement Resolution - Consortium Participating Grantee

_____ 4) Certifications and Assurances

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File System Checklist

Date Completed

Chapter 4 Grant Administration

_____ 1) Grant Administration

- _____ • Form PM-4, Resolution to Designate a Public Agency
- _____ • Contract for Administrative Services
- _____ • Consortium Contract

____/____/____
 ____/____/____
 ____/____/____

_____ 2) Financial Management

- _____ • Cash Control Ledger for all cash receipts and disbursements
- _____ • Lump Sum Agreement (scattered site housing revolving loan funds only)
- _____ • Obligations Register
- _____ • Budget Control Ledger
- _____ • Fidelity Bonding Insurances
- _____ • Time Sheets
- _____ • Other Resources Ledger
- _____ • Acceptable documentation of expenditures
- _____ • Property register

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_____ 3) Requisitions

- _____ • Pre-Requisition Checklist
- _____ • Form FM-6, Requisition of VCDP Funds

____/____/____
 ____/____/____

_____ 4) Progress Reporting

- _____ • Form FM-10, Periodic Progress Report
- _____ • Schedule of Anticipated Program Income

____/____/____
 ____/____/____

File System Checklist

Chapter 5 Displacement, Acquisition and Relocation

| | Date Completed |
|---------------------------------|----------------|
| _____ 1) Notification | ___/___/___ |
| _____ 2) Interviews | ___/___/___ |
| _____ 3) Unit Inspection | ___/___/___ |
| _____ 4) Payments | ___/___/___ |
| _____ 5) Claims | ___/___/___ |
| _____ 6) Complaints | ___/___/___ |
| _____ 7) Evaluation | ___/___/___ |
| _____ 8) Anti-Displacement Plan | ___/___/___ |

File System Checklist

Chapter 6 Procurement and Contracts

| | | Date Completed |
|-------|--|-----------------------|
| _____ | • Contracts | ___/___/___ |
| _____ | • Bonding | ___/___/___ |
| _____ | • Insurance | ___/___/___ |
| _____ | • Employment Contracts | ___/___/___ |
| _____ | • Schedules of Payments | ___/___/___ |
| _____ | • Reporting Requirements | ___/___/___ |
| _____ | • Debarment Check | ___/___/___ |
| _____ | • Registered to do with the State of Vermont | ___/___/___ |

File System Checklist

Chapter 7 Fair Labor Standards and Davis Bacon

| | | Date Completed |
|-------|--|-----------------------|
| _____ | • HUD Guidebook “Pre-construction Conferences” | ___/___/___ |
| _____ | • Form LAB-1, Request for Wage Determination | ___/___/___ |
| _____ | • Pre-construction Conference Handout | ___/___/___ |
| _____ | • Prime Contractor’s Report Requirements | ___/___/___ |
| _____ | • Certified Payroll Transcripts | ___/___/___ |
| _____ | • Construction Contract | ___/___/___ |
| _____ | • Construction Employee Interviews | ___/___/___ |

File System Checklist

Chapter 8 Documenting Benefit

- _____ • Family Income Statement
- _____ • Household Income Statement
- _____ • Employment Agreement Hiring Guide
- _____ • Employment Plan

| Date Completed |
|-----------------------|
| ____/____/____ |
| ____/____/____ |
| ____/____/____ |
| ____/____/____ |

File System Checklist

**Date
Completed**

Chapter 9 Housing

_____ • Fair Housing Requirements

__/__/__

_____ • Income Verification

__/__/__

_____ • Property Eligibility

__/__/__

_____ • Section 8 Inspection

__/__/__

_____ • Document Benefit

__/__/__

_____ • Document rehabilitation costs

__/__/__

File System Checklist

Chapter 10 Economic Development

- _____ • Employment agreement between the municipality and the for-profit or nonprofit

Date Completed
____/____/____

Other legal documents for each loan, as applicable:

- _____ • Mortgage and promissory note
- _____ • Loan Agreement and Security Agreement
- _____ • UCC financing statements
- _____ • Housing Subsidy Covenant
- _____ • Guarantee of Principal
- _____ • Description of Collateral Assets
- _____ • Appraisal
- _____ • Environmental reviews and release for each recipient of a direct loan
- _____ • Administrative services contract
- _____ • Loan restructuring and workout
- _____ • Monitoring businesses' progress in job creation/retention
- _____ • Accounting Summary and copies of appropriate expenditure documentation
- _____ • Written Certification that the Accounting Summary is accurate
- _____ • Other Resources Affidavit

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File System Checklist

Chapter 11 Public Facilities and Services
(All of these may not be applicable)

| | Date Completed |
|---|-----------------------|
| _____ 1) Public Facilities | ____/____/____ |
| _____ • Engineering feasibility study | ____/____/____ |
| _____ • All required permits | ____/____/____ |
| _____ • Applicable URA activities (see Chapter 5) | ____/____/____ |
| _____ • Rights of way and easements | ____/____/____ |
| _____ • Benefit Documentation | ____/____/____ |
| _____ 2) Public Service | ____/____/____ |
| _____ • Long term service agreements | ____/____/____ |
| _____ • Long term lease agreements | ____/____/____ |
| _____ • Benefit documentation | ____/____/____ |

File System Checklist

Chapter 12 Program Closeout (continued)

- | | Date Completed |
|--|-----------------------|
| _____ • List of real property acquired with Grant Funds | ___/___/___ |
| _____ • Comments related to the State’s or Municipality’s activities under the Vermont Community Development Program | ___/___/___ |
| _____ • Copies of any report or study (sent to the Department) funded in whole or in part with VCDP grant funds, and conclusions that resulted from the activities funded under this grant | ___/___/___ |
| _____ • Copy of Proposed Closeout Agreement submitted to the Department to deal with Program Income resulting from the use of VCDP grant funds | ___/___/___ |

_____ **3) Record Retention Checklist**

- | | |
|--|-------------|
| _____ • Verification of conformance with the Grant Agreement, Agency Procedures and applicable federal and state statutes | ___/___/___ |
| _____ • Verification that all applicable Special Conditions of the Grant Agreement were met | ___/___/___ |
| _____ • Documentation that copies of all third party contracts supported by VCDP grant funds were supplied to the Agency as agreed | ___/___/___ |
| _____ • Documentation that all Other Resources committed to this Grant Agreement were received and expended as set forth in the Grant Agreement | ___/___/___ |
| _____ • Documentation that all other Special Conditions set forth in the Grant Agreement have been met | ___/___/___ |
| _____ • Verification that all citizen information files are complete | ___/___/___ |
| _____ • Verification that the Environmental Review file contains documentation that the proper procedures related to environmental issues were observed | ___/___/___ |
| _____ • Sign-off from Historic Preservationist or archeologist that the project was completed in accordance with Secretary of Interior standards as set forth in MOA or Conditional No Adverse Effect letter | ___/___/___ |
| _____ • Written personnel policies and procedures which reference Equal Employment Opportunity standards | ___/___/___ |

File System Checklist

Chapter 12 Program Closeout (continued)

**Date
Completed**

| | | |
|--------------------------|--|-----------|
| <input type="checkbox"/> | 4) Personnel recruitment records | _ / _ / _ |
| <input type="checkbox"/> | • Time sheets distinguishing between grant-support and non-grant-supported activities | _ / _ / _ |
| <input type="checkbox"/> | • Documentation that you have met all the requirements related to the elimination of conflicts of interest | _ / _ / _ |
| <input type="checkbox"/> | • Documentation that procurement policies allowed for “free and open competition” | _ / _ / _ |
| <input type="checkbox"/> | • To the extent they apply to this program, procurement documents include one or more of the following: | _ / _ / _ |
| <input type="checkbox"/> | a) Adopted Municipal Codes | _ / _ / _ |
| <input type="checkbox"/> | - Drug-Free Workplace Policy | _ / _ / _ |
| <input type="checkbox"/> | - Equal Employment Opportunity Policy | _ / _ / _ |
| <input type="checkbox"/> | - Fair Housing Policy | _ / _ / _ |
| <input type="checkbox"/> | - Use of Excessive Force Policy | _ / _ / _ |
| <input type="checkbox"/> | - Policy on the use of funds for Federal Lobbying (Prohibition Against) | _ / _ / _ |
| <input type="checkbox"/> | - Code of Ethics for Administration of Vermont Community Development Program | _ / _ / _ |
| <input type="checkbox"/> | b) Equal Opportunity Advertisements | _ / _ / _ |
| <input type="checkbox"/> | c) Considerations given to minority and women-owned businesses | _ / _ / _ |
| <input type="checkbox"/> | d) Requests for Proposals | _ / _ / _ |
| <input type="checkbox"/> | e) Proposal Specifications | _ / _ / _ |

File System Checklist

Chapter 12 Program Closeout (continued)

Date Completed

| | | |
|-------|---|----------------|
| <hr/> | f) Tabulations of Proposals | ____/____/____ |
| <hr/> | g) Evidence of acceptance of the lowest responsible proposal/bid | ____/____/____ |
| <hr/> | 5) Procedures instituted to monitor project contracts | ____/____/____ |
| <hr/> | • Documentation that Requisitions of Grant Funds and Financial Reports were made following accounting and record keeping requirements in the Grant Agreement | ____/____/____ |
| <hr/> | • Verification that the financial management and accounting system met with standards set forth in the Grant Agreement | ____/____/____ |
| <hr/> | • The record keeping and accounting systems have been consistent, providing an audit trail | ____/____/____ |
| <hr/> | • Financial records were posted up-to-date and reconciled on a regular basis | ____/____/____ |
| <hr/> | • That all transactions are supported by source documents and that financial records correlate with the accounting records | ____/____/____ |
| <hr/> | • Labor Standards Files contain complete documentation of compliance if required in the Grant Agreement | ____/____/____ |
| <hr/> | • Civil Rights files contain the following to document the compliance required by the Certifications and Assurances of the Grant Agreement: | ____/____/____ |
| <hr/> | a) Documentation that personnel and procurement procedures are not discriminatory except as allowed to meet the objectives related to Section 3 of the Housing and Urban Development Act concerning training and employment for project area residents and contractors. | ____/____/____ |
| <hr/> | b) Documentation that the Community Development Program has been designed and implemented so as not to discriminate or deny access to benefits on account of race, color, religious creed, ancestry, national origin, sex, familial status, handicap or age. | ____/____/____ |
| <hr/> | c) Documentation that all contracts entered into under this program contain required statutory references and that records demonstrate the monitoring activities aimed at assuring the protection of civil rights. | ____/____/____ |
| <hr/> | d) Documentation of efforts to deal with Civil Rights/Equal Employment violations. | ____/____/____ |

File System Checklist

Chapter 12 Program Closeout (continued)

**Date
Completed**

- | | | |
|-------|--|-------------|
| _____ | • Records that completely document any real property acquisition using VCDP funds | ___/___/___ |
| _____ | • Records that completely document that proper procedures were followed in conformance with federal regulation where displacement of individuals or businesses occurred from the expenditure of VCDP grant funds | ___/___/___ |
| _____ | • That all transactions are supported by source documents and that financial file correlate with the accounting records | ___/___/___ |
| _____ | 6) Other Documentation | ___/___/___ |
| _____ | • of actions taken to deal with adverse comments/problems | ___/___/___ |
| _____ | • files/records that support conformance with Grant Agreement, Agency Procedures and applicable federal and state statutes | ___/___/___ |
| _____ | • that you have met all Special Conditions (Attachment A) of your Grant Agreement | ___/___/___ |
| _____ | • list of dates that copies of all 3rd party contracts were supplied to Agency as agreed | ___/___/___ |

File System Checklist

Chapter 13 Audit Requirements

- _____ • Certification of Audit Requirement Form
- _____ • Schedule of Federal Expenditures Form
- _____ • Procurement (see Chapter 6)
- _____ • Audit Request for Proposal
- _____ • Proposals from Auditors
- _____ • Copies of Audit Reports

| | | Date Completed |
|--|--|-----------------------|
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File System Checklist

Chapter 14 Closeout Agreement, Program Income and Designating a Nonprofit Community Development Organization (NCDO)

| | Date Completed |
|---|----------------|
| _____ • Closeout Agreement | ___/___/___ |
| _____ • Revolving Loan Fund Plan | ___/___/___ |
| _____ • Economic Development Projects - Appropriate Review | ___/___/___ |
| _____ • Form PM-5, Resolution to Designate a Nonprofit Community Development Organization (NCDO) | ___/___/___ |
| _____ • Certification of a Nonprofit Community Development Organization form and the following: | ___/___/___ |
| _____ a) State and Federal certifications | ___/___/___ |
| _____ b) Mission Statement | ___/___/___ |
| _____ c) Articles of Incorporation and Bylaws | ___/___/___ |
| _____ d) Most recent audited financial statement | ___/___/___ |
| _____ e) Personnel policies and organizational chart | ___/___/___ |
| _____ f) Narrative amplifying the information in Items a) through e) above and a copy of your RLF's guidelines. | ___/___/___ |